



*Washington*  
**Secretary of State**  
SAM REED

## WASHINGTON STATE LIBRARY GRANTS

### **Washington Preservation Initiative 2004 Guidelines for Preservation Projects**



This grant cycle is supported with Library Services and Technology Act funding provided by the federal Institute of Museum and Library Services.

#### **Contents**

1. Introduction
2. Library Eligibility
3. Project Eligibility
4. Criteria for Evaluation
5. Funding Available
6. Timeframe
7. Application Process
8. Requirements
9. Assurances
10. Additional Information

#### **1. Introduction**

The Washington Preservation Initiative assists Washington state libraries of all types and sizes in preserving collections of materials with significant historical or cultural value, thus assuring long-term access to these collections. Initiative activities include workshops, a state-wide needs preservation assessment of the state's libraries, and a preservation grant program. The Initiative helps library staff develop preservation expertise and encourages collaboration among the state's libraries.

#### **2. Library Eligibility**

All types of libraries are eligible to apply for this grant cycle subject to LSTA eligibility guidelines. LSTA eligibility guidelines may be reviewed at:

<http://www.secstate.wa.gov/library/libraries/grants/eligibility.aspx>

### 3. Project Eligibility

The purpose of this grant cycle is to provide funding for preserving collections of materials with significant historical or cultural value in Washington library collections. Materials should have long-term value and be accessible to the public. If a collection to be preserved is unprocessed, the proposal should include a plan on how the collection will be processed. There are no format restrictions; collections in any library format are eligible with the exception that works of art are not considered eligible materials for this grant cycle.

Examples of preservation projects, services, etc. for which funding is available:

- Preservation surveys of a library to assess the condition of the library's collections and the conditions under which they are stored
- A preservation survey of a specific library collection
- To pay for a consultant's time and expenses
- To pay for project staff
- Conservation treatments
- Vendor services such as preservation microfilming (35mm roll microfilm), mass deacidification, and preservation photocopying
- Purchase of supplies such as acid-free boxes, folders, etc., to re-house an archival collection
- Purchase or production of protective enclosures
- Reformatting of photographs, videos, motion pictures, or sound recordings
- Purchase of preservation equipment, e.g., environmental monitoring equipment

Funding is **NOT** available for:

- Projects for ongoing, routine local functions such as library binding
- Projects to process or digitize a collection
- Computer equipment, shelving, or microform readers
- To pay salaries and/or benefits for existing personnel outside of project implementation
- Replacement of books by reprints, other editions, or existing microfilm
- Overhead and administrative costs including indirect costs

Because of the amount of grant money available, **only one application per library system** will be considered. If your institution has multiple projects in mind, please prioritize them and retain the rest for another possible grant cycle. If multiple applications are received, the application first received will be selected for review.

### 4. Criteria for Evaluation

General:

- Soundness of the plan of work
- Whether the project costs are appropriate and cost effective
- Whether the project can be completed in the grant timeframe (see section 6, next page)
- Qualifications of vendors, consultants, and/or staff to do the proposed work
- Evidence that the applicant institution is capable of carrying out the project

Significance and availability of the collection:

- Materials have significance and enduring value
- Materials are legally owned by the library and are available to the public for onsite examination or loan
- Materials are under bibliographic control to assure wide access to them

How at Risk:

- Fragile – materials cannot be used without damaging them
- Vulnerable – conditions of storage or use pose potential damage to materials
- Endangered – storage conditions need to be improved or materials need to be stabilized to keep them that way

Other:

- Appropriateness of treatments – Are the treatments being proposed appropriate to the materials? If reformatting is proposed, has this already been done by someone else? (check OCLC WorldCat for availability of microforms/reprints)
- Does this project build on a previous project or relate to other preservation efforts?
- Is this a phased step in preserving a collection?
- Funding for very expensive rare book conservation requires a compelling justification including evidence of significant artifactual value. Qualifications of the conservator should be documented in the application.

Survey work:

- Qualifications of the consultants
- Institutional commitment to implement survey results

## 5. Funding Available

For 2004, a total of \$135,000 is available. This grant cycle has a maximum limit of \$20,000 per project. Because of limited funding, no more than one grant will be awarded per library system. A total of seven to nine awards are anticipated.

## 6. Timeframe

The following timeline has been developed for the purpose of providing information about this grant cycle and to assist applicants in developing appropriate projects and applications.

### Tentative dates

- May 10, 2004 – Grant cycle opens.
- July 16, 2004 – Applications must be received by 5 p.m. at the Washington State Library.
- September 17, 2004 – Anticipated date for awards by the Washington State Library.
- November 15, 2004 – Anticipated date that all contracts are fully executed and that project implementation can begin. The actual project period is from the date of contract execution through August 31, 2005.
- August 31, 2005 – All contractual activity leading to project completion ends. Applicants proposing projects that use LSTA funding beyond August 31, 2005, will not be considered for this funding cycle.
- October 15, 2005 – Final reports and final reimbursement claims are submitted.

## 7. Application Process

Grant cycle opens on May 10, 2004. An announcement of the grant cycle is sent via mail to library directors, listserv, and to those who have requested to be notified of this grant cycle.

Application guidelines, forms, and other materials may be obtained by visiting the Washington State Library Web site at <http://www.secstate.wa.gov/library/libraries/grants/grants.aspx>. Materials may also be obtained by contacting the Grants Program staff as noted at the end of this document.

General questions regarding the application process may be obtained by contacting the Washington Preservation Initiative program manager or the Grants Program staff by e-mail or phone. Contact information is listed at the end of this document. These staff members will not be involved in rating and scoring applications. Staffing limitations preclude review and comment on draft applications.

### **Deadline for funding proposals**

Applications must be received at the Washington State Library by **5 p.m. Friday, July 16, 2004**. Faxed applications are **NOT** acceptable for this funding request. An application consists of:

- One, single-sided original, with signatures, clearly identified as the original;
- One paper copy; **and**
- One electronic copy (on 3.5 inch DOS formatted diskette, a CD, or sent as an email attachment to [ayarbrough@secstate.wa.gov](mailto:ayarbrough@secstate.wa.gov) ).

Submit applications to the address below:

#### ***By Mail***

*Grants Program  
Washington State Library  
PO Box 42460  
Olympia, Washington 98504-2460*

#### ***By Hand or Delivered***

*Grants Program  
Washington State Library  
6880 Capitol Blvd S  
Tumwater WA 98501-5513*

A review committee selected by the Washington State Library (WSL) will review the applications and forward recommendations to the State Librarian and the Secretary of State for final consideration and approval. WSL may contact the applicant for clarification of information. Funds are distributed by application rank order within the funding capabilities.

After award of funding, a letter of notification will be sent to all applicants. Contracts will then be established with those receiving awards. Reimbursable project costs may not be incurred until contracts are fully signed by both the Office of the Secretary of State (Washington State Library) and the award recipient. Costs incurred prior to contract execution are not reimbursable.

## **8. Requirements**

- a) Libraries are sometimes granted funds contingent upon fulfilling one or more requirements prior to project implementation. Libraries must meet those contingencies prior to contract execution and before LSTA funding can be disbursed.
- b) The project period is from the date of contract execution (i.e., the contracting authority from both WSL and the sub-grantee have signed the contract) through the end of the period of performance noted within the contract. Project costs incurred prior to contract execution or after the end of the period of performance specified within the contract are the responsibility of the applicant/sub-grantee.

- c) Libraries must expend local money first and then claim reimbursement. Funds will not be distributed in advance of activities and purchases taking place. Funds will only be distributed on a reimbursement basis. Funds requested for the proposed project must not take the place of previously budgeted local funding.
- d) Applicant/sub-grantee overhead expenses and administrative costs are not eligible for LSTA reimbursement. They may be used as match for the proposed project.
- e) Applicants must commit to compliance with grant administration requirements. Quarterly progress reports will be submitted to WSL detailing activities performed or in progress toward the successful completion of the project. A final report will be submitted to WSL providing a complete summary of the project and of all grant activities. The contract document will indicate the latest date for submission of required quarterly and final reports. Reimbursement claims will be made on forms provided by WSL. Documentation of expenses will be required.

As part of the evaluation and reporting for the project, the final report will be expected to be detailed enough to enable another library to replicate the project. The report should include:

- A description of the project and the steps taken to implement it.
  - What was actually accomplished?
  - Lessons learned. (What worked well? What should be done differently if the project is repeated?)
  - Did the project achieve the stated desired outcome/goals? Why or why not?
  - Steps taken to evaluate the project. A summary of the response to the project from project partners, customers, and others.
  - Will the project continue and if so, how will it be funded?
- f) Applicants must commit to participate in statistical information gathering and other surveys measuring the effectiveness of this proposal.
  - g) **Children's Internet Protection Act (CIPA): Certification Required**  
Any public library, public elementary or secondary school library submitting an application for LSTA funding is required to file a certification form regarding compliance with CIPA requirements. If the application is from a group of libraries or a library consortium, the lead library applicant must collect and retain the certification from every constituent public library, public elementary or secondary school library and submit an overall certification on behalf of the group. Please see the State Library's Web page for the Children's Internet Protection Act for CIPA and LSTA guidelines and certification forms:  
<http://www.secstate.wa.gov/library/libraries/libDev/technology/cipa.aspx>.
  - h) The Washington State Library and the Institute of Museum and Library Services must be acknowledged as providing LSTA funding to support the project in all project-related public events, press releases, printed materials, and Web sites.
  - i) All projects and activities must be completed and funds expended by August 31, 2005. Applicants proposing projects that will use LSTA funding beyond this date will not be considered for this grant cycle.

## 9. Assurances

The Washington State Library and the Sub-Grantee agree that all activity pursuant to a Grant Agreement will be in accordance with all applicable, current, or future federal, state, and local laws, rules, and regulations. Specifically, this includes laws, rules and regulations such as:

- a) 45 Code of Federal Regulations (CFR) Part 1183, Uniform Administrative Requirements for Grants and Cooperative Agreements;
- b) 45 Code of Federal Regulations (CFR) Part 1185, Governmentwide Debarment and Suspension (Nonprocurement) and Government Wide Requirements for Drug-Free Workplace (Grants);
- c) Office of Management and Budget (OMB) Circular A-21 Revised, Cost Principles for Educational Institutions;
- d) Office of Management and Budget (OMB) Circular A-87 Revised, Cost Principles for State, Local and Indian Tribal Governments;
- e) Office of Management and Budget (OMB) Circular A-122, Cost Principles for Non-Profit Organizations; and
- f) Office of Management and Budget (OMB) Circular A-133 Revised, Audits of States, Local Governments, and Non-Profit Organizations.

### Code of Federal Regulations (CFR)

The CFRs can be inspected by accessing the following URL:

<http://www.gpoaccess.gov/cfr/index.html> Scrolling down toward the bottom of this page is a box labeled "Search Terms". To inspect 45 CFR Part 1183, enter 45CFR1183 in this box and click on the "Submit" button. A search list is returned that includes specific parts, sections, and subsections of 45 CFR Part 1183. If you are interested in inspecting the full title, scroll to the bottom of the page. You will find one item titled: 45CFR1183--PART 1183--UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS. This item contains the full text of this title and is available as a text file (.txt) or as an Adobe Acrobat (.pdf) file. If you are interested in just a part of this overall title and you know the name for the specific section, such as Copyrights, scroll to the title for that section.

The Code of Federal Regulations 45 CFR Part 1183 includes sections related to the scope and applicability of the provisions, financial administration requirements, contract administration requirements, and close-out of projects.

The Code of Federal Regulations 45 CFR Part 1185 provides that an individual, corporation, unit of government or other entity that is debarred or suspended shall be excluded from Federal financial or non-financial assistance and benefits under Federal programs and activities.

### **Office of Management and Budget (OMB) Circulars**

The following OMB Circulars can be inspected by accessing the following URL:  
<http://www.whitehouse.gov/omb/grants/index.html> Click on "Circulars". The specific circular of interest can then be selected.

OMB Circular A-21 establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions.

OMB Circular A-87 establishes principles and standards for determining costs for Federal awards carried out through grants, cost reimbursement contracts, and other agreements with State and local governments and federally-recognized Indian tribal governments (governmental units).

OMB Circular A-122 establishes principles for determining costs of grants, contracts and other agreements with non-profit organizations.

OMB Circular A-133 is issued pursuant to the Single Audit Act of 1984, P.L. 98-502, and the Single Audit Act Amendments of 1996, P.L. 104-156. It sets forth standards for obtaining consistency and uniformity among federal agencies for the audit of states, local governments, and non-profit organizations expending federal awards.

### **Other Requirements:**

If the Sub-Grantee includes a construction component as part of the overall project even if this component is not funded by federal funds, the following shall also apply and includes laws, rules and regulations that are the provisions of 45 CFR 1183.36(i); including but not limited to:

- a) Section 306 of the Clean Air Act (42 U.S.C. 1857(h)), and section 508 of the Clean Water Act (33 U.S.C. part 15). Note: Applies to contracts, subcontracts, and sub-grants of amounts in excess of \$100,000.
- b) Mandatory standards and policies relating to energy efficiency which are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163).
- c) Compliance with the Copeland "Anti-Kickback" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR part 3). Note: Applies to all contracts, grants, and sub-grants for construction or repair.
- d) Compliance with the Davis-Bacon Act (40 U.S.C. 276a to a-7) as supplemented by Department of Labor regulations (29 CFR part 5). Note: Applies to construction contracts in excess of \$2,000 awarded grantees and sub-grantees when required by Federal Grant Program legislation.
- e) Compliance with sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR part 5). Note: Applies to construction contracts awarded grantees and sub-grantees in excess of \$2,000, and in excess of \$2,500 for other contracts which involve employment of mechanics or laborers.

## 10. Additional Information

Projects must conform to LSTA goals and fit within the goals and objectives of LSTA planning documents. The following may be used to provide a basic overview of this information.

### The Six Goals for LSTA State Program Funds

Under the federal Museum and Library Services Act of 2003 and Subtitle B, Library Services and Technology, funds may be used, in any proportion, by state library agencies directly, and through sub-grants or cooperative agreements to individual libraries for:

1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
2. Developing library services that provide all users access to information through local, State, regional, national, and international electronic networks;
3. Providing electronic and other linkages among and between all types of libraries;
4. Developing public and private partnerships with other agencies and community-based organizations;
5. Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and
6. Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line applicable to a family of the size involved.

### Overview of Washington State LSTA Five-Year Plan Goals

LSTA funding supports the goals of the *Washington State Library Services and Technology Act Five-Year Plan FFY2003 – 2007*, July 26, 2002. A link to the LSTA Five-Year Plan may be found on the Washington State Library grants page, <http://www.secstate.wa.gov/library/libraries/dev/LSTAPlan03.pdf>.

The LSTA Five-Year Plan contains four primary goals. They are:

1. Washingtonians will have increased physical and remote electronic access to traditional and digital library resources and services in all areas of the state.
2. Washingtonians will have increased awareness of the library resources, and services that are available to them.
3. Washington libraries will provide enhanced and expanded library services, resources and programs to all segments of their communities.
4. Through consulting, training, and collaboration, Washington libraries will have an increased capacity to effectively serve customers.

### For Questions and Additional Information

Web site: <http://www.secstate.wa.gov/library/libraries/grants/grants.aspx>

Susan Barrett, Washington Preservation Initiative Project Manager, 360.570.5561, [sbarrett@secstate.wa.gov](mailto:sbarrett@secstate.wa.gov)

Jeff Martin, Grants Program, 360.704.5248, [jmartin@secstate.wa.gov](mailto:jmartin@secstate.wa.gov)

Anne Yarbrough, Grants Program, 360.704.5246, [ayarbrough@secstate.wa.gov](mailto:ayarbrough@secstate.wa.gov)